

Commonwealth of Kentucky
Alison Lundergan Grimes, Secretary of State

LARP
0847031
Alison Lundergan Grimes
KY Secretary of State
Received and Filed
6/30/2014 12:40:59 PM
Fee receipt: \$15.00

Alison Lundergan Grimes
Secretary of State
P. O. Box 1150
Frankfort, KY 40602-1150
(502) 564-3490
<http://www.sos.ky.gov>

**Annual Report
Online Filing**

ARP

Company: CETERA INVESTMENT ADVISERS LLC
Company ID: 0847031
State of origin: Delaware
Formation date: 1/11/2013 12:00:00 AM
Date filed: 6/30/2014 12:40:59 PM
Fee: \$15.00

Principal Office

401 FIRST STREET SOUTH, STE 300
ST. CLOUD, MN 56301

Registered Agent Name/Address

CT CORPORATION SYSTEM
306 W. MAIN STREET, SUITE 512
FRANKFORT, KY 40601

Members/Managers

Manager	R LAWERENCE ROTH	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245
Manager	ENRIQUE M VASQUEZ	200 N MARTINGALE ROAD SCHAUMBURG, IL 60173
Manager	STEVEN J DUNLAP	200 N SEPULVEDA BLVD EL SEGUNDO, CA 90245

Signatures

Signature	GREG A OLSON
Title	ASSISTANT SECRETARY